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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

500155.07

March 23, 2004

First Inventor or Application Identifier

Guy F. Hudson

Title

APPARATUSES FOR MAKING AND USING BI-MODAL ABRASIVE  
SLURRIES FOR MECHANICAL AND CHEMICAL-MECHANICAL  
PLANARIZATION OF MICROELECTRONIC-DEVICE SUBSTRATES

Express Mail Label No.

EL 646074258 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-14501. ☒ Fee Transmittal Sheet (+ copy)  
(Submit an original and a duplicate for fee processing)2. ☐ Applicant(s) Claim(s) Small Entity Status3. ☒ Specification [Total Pages] **31**  
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **5**5. ☒ Oath or Declaration [Total Pages] **1**

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer-Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
  - i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)10. ☐ Assignment Papers (cover sheet & document(s))11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)12. ☐ English Translation Document (if applicable)13. ☒ Preliminary Amendment Total Pages **10**14. ☒ Return Receipt Postcard15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)17. ☒ Other: Check, Certificate of Express Mail  
Revocation & Substitute POA18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 10/155,203 Filed May 23, 2002Prior application information: Examiner Lan VinhGroup / Art Unit 1765☒ **Incorporation By Reference** (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Claims the benefit of Provisional Application No. \_\_\_\_\_**CORRESPONDENCE ADDRESS**Mark W. Roberts, Ph.D.  
Dorsey & Whitney LLP  
1420 Fifth Avenue, Suite 3400  
Seattle, Washington 98101-4010  
(206) 903-8800 phone / (206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Mark W. Roberts, Ph.D.REGISTRATION NO. 46,160SIGNATURE Mark W. RobertsDate 4-1-04

# FEE TRANSMITTAL SHEET (FOR FY 2004)

## Complete if Known

Express Mail No.	EL 646074258 US
Filing Date	Concurrently Herewith
First Named Inventor	Guy F. Hudson
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500155.07

### METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	<input checked="" type="checkbox"/> Utility Filing Fee
1002	340	2002	170	<input type="checkbox"/> Design Filing Fee
1003	530	2003	265	<input type="checkbox"/> Plant Filing Fee
1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee
1005	160	2005	80	<input type="checkbox"/> Provisional Filing Fee

**Subtotal (1)      \$ 770**

#### 2. EXTRA CLAIM FEES

Current Claims	Prior	Extra	Fee	Fee Paid
Total      31	-      20	=      11	x      \$ 18	=      \$ 198
Ind.          3	-      3	=      0	x      \$ 86	=      \$ 0
Multiple Dependent Claims			x      \$	=      \$

**Subtotal (2)      \$ 198**

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent Claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - Late filing fee or oath	\$
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	\$
1053	130	1053	130	Non-English specification	\$
1812	2,520	1812	2,520	For Filing a Request for <i>ex parte</i> Reexamination	\$
1804	920	1804	920	Requesting publication of SIR prior to Examiner action	\$
1805	1,840	1805	1,840	Requesting publication of SIR after Examiner action	\$
1251	110	2251	55	Extension for reply within first month	\$
1252	420	2252	210	Extension for reply within 2 <sup>nd</sup> month	\$
1253	950	2253	475	Extension for reply within 3 <sup>rd</sup> month	\$
1254	1,480	2254	740	Extension for reply within 4 <sup>th</sup> month	\$
1255	2,010	2255	1,005	Extension for reply within 5 <sup>th</sup> month	\$
1401	330	2401	165	Notice of Appeal	\$
1402	330	2402	165	Filing a brief in support of an appeal	\$
1403	290	2403	145	Request for oral hearing	\$
1814	110	2814	55	Terminal Disclaimer Fee	\$
1452	110	2452	55	Petition to revive - unavoidable	\$
1453	1,330	2453	665	Petition to revive - unintentional	\$
1501	1,330	2501	665	Utility/Reissue issue fee	\$
1502	480	2502	240	Design issue fee	\$
1503	640	2503	320	Plant issue fee	\$
1460	130	1460	130	Petitions to the Commissioner	\$
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	\$
1806	180	1806	180	Submission of IDS	\$
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$
1801	770	2801	385	Request for Continued Examination (RCE)	\$

Other fee (specify) \_\_\_\_\_

**Subtotal (3)      \$ 0**

**Total Amount of Payment:      \$ 968**

#### Submitted by:

Name: Mark W. Roberts, Ph.D.

Reg. No.: 46,160

Telephone: (206) 903-8800

Signature: 

Date: 4-1-04

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Guy F. Hudson Attorney Docket No.: 500155.07  
Filed : Concurrently Herewith  
Title : APPARATUSES FOR MAKING AND USING BI-MODAL ABRASIVE SLURRIES FOR  
MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF  
MICROELECTRONIC-DEVICE SUBSTRATE ASSEMBLIES

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**GENERAL AUTHORIZATION**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

4-1-04



Mark W. Roberts, Ph.D.  
Registration No. 46,160

MWR:pep

1420 Fifth Avenue, Suite 3400  
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(206) 903-8800  
Fax (206) 903-8820

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Guy F. Hudson

Attorney Docket No.: 500155.07

Filed : April 1, 2004

Title : APPARATUSES FOR MAKING AND USING BI-MODAL ABRASIVE  
SLURRIES FOR MECHANICAL AND CHEMICAL-MECHANICAL  
PLANARIZATION OF MICROELECTRONIC-DEVICE SUBSTRATES

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

**MAIL STOP PATENT APPLICATION**

Commissioner for Patents

P.O. Box 1450

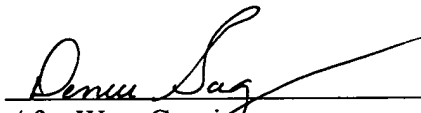
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 646074258 US, on April 1, 2004, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,

DORSEY & WHITNEY LLP

  
/ for West Courier

MWR:pep

Enclosures:

Postcard

Check

PTO/SB/05 Utility Patent Application Transmittal

Application Data Sheet

Fee Transmittal Sheet (+ copy)

General Authorization

Preliminary Amendment

Specification, Claims, Abstract (31 pages)

5 Sheets of Drawings (Figures 1-5)

Copy of Declaration

Copy of Election and Power of Attorney

Copy of Revocation and Substitute Power of Attorney

Information Disclosure Statement and PTO-1449